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PTO/SB/21 (09-04)

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/632,576
Filing Date	07/28/2003
First Named Inventor	John LeRoy Parker, Jr.
Art Unit	1775
Examiner Name	Cathy Lam
Attorney Docket Number	8245.057

### ENCLOSURES (Check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation of POA, Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <b>see below</b>
<b>Remarks</b> 1. Transmittal (1 page); 2. Fee Transmittal (1 page); 3. Credit Card Payment Form (1 page); 4. Supplemental Information Disclosure Statement (6 pages); 5. Supplemental Form PTO-1449 (2 pages); 6. Supplementary EPO Search Report (3 pages); 7. Copies of foreign cited material; and 8. Return Receipt Postcard.		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	DUNLAP, CODDING & ROGERS, P.C.		
Signature	<i>Marc Brockhaus</i>		
Printed name	Marc A. Brockhaus		
Date	1-26-2007	Reg. No.	40,923

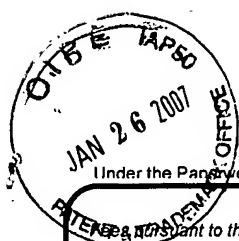
### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: \*\*\* SENT BY EXPRESS MAIL NO. EV 616014088US\*\*\*

Signature	<i>Marc Brockhaus</i>		
Typed or printed name	Marc A. Brockhaus	Date	1-26-2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Effective on 12/08/2004.

Subject to the Consolidated Appropriations Act, 2005 (H.R. 4818).

**FEE TRANSMITTAL**  
**For FY 2005**☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) **180.00****Complete if Known**

Application Number	10/632,576
Filing Date	07/28/2003
First Named Inventor	John LeRoy Parker, Jr.
Examiner Name	1775
Art Unit	Cathy Lam
Attorney Docket No.	8245.057

**METHOD OF PAYMENT** (check all that apply)☐ Check ☒ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_☐ Deposit Account Deposit Account Number: \_\_\_\_\_ Deposit Account Name: \_\_\_\_\_

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee  
☐ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☐ Credit any overpayments**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES****Fee Description**

Each claim over 20 (including Reissues)

Each independent claim over 3 (including Reissues)

Multiple dependent claims

Fee (\$)	Small Entity Fee (\$)
50	25
200	100
360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
- 20 or HP =	0	x	= 0

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
- 3 or HP =	0	x	= 0

HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
- 100 =	0	/ 50 =	(round up to a whole number) x	= 0

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Supplemental IDS

**Fees Paid (\$)**

180.00

**SUBMITTED BY**

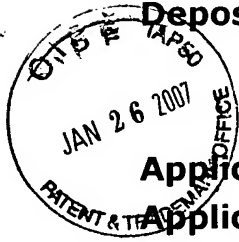
Signature	Marc Brockhaus	Registration No. (Attorney/Agent)	40,923	Telephone	405-607-8600
Name (Print/Type)	Marc A. Brockhaus	Date	1-26-2007		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**EXPRESS MAIL NO.: EV 616014088 US**

**Deposited On: January 26, 2007**



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Application No. : 10/632,576 Confirmation No.: 5022**  
**Applicant(s) : John LeRoy Parker, Jr., et al.**  
**Filed : 07/28/2003**  
**TC/Au : 1775**  
**Examiner : Cathy Lam**  
**Title : VIA CONNECTOR AND METHOD OF MAKING SAME**  
**Docket No. : 8245.057**  
**Customer No. : 30589**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
(FILED UNDER 37 C.F.R 1.97(e)(1))**

**List of Sections Forming Part of This  
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. ☒ Statement Under 37 C.F.R. 1.97(e)(1)
2. ☒ Preliminary Statements
3. ☒ FORM PTO-1449 (Modified)
4. ☐ Statement as to Information Not Found in Patents or Publications
5. ☐ Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted

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- 6.    ☐    Cumulative Patents or Publications
- 7.    ☒    Copies of Listed Information Items Accompanying this Statement
- 8.    ☐    Concise Explanation of Non-English Language Listed Information Items
  - 8A.   ☒    EPO Search Report
  - 8B.   ☐    English Language Version
- 9.    ☐    Translation(s) of Non-English Language Documents
- 10.   ☐    Concise Explanation of English Language Listed Information Items (Optional)
- 11.   ☒    Identification of Person(s) Making this Information Disclosure Statement

### **Section 1.            Statement Under 37 C.F.R. 1.97(e)(1)**

Each item in the information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application.

### **Section 2.            Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

### **Section 3.            Form PTO-1449 (Modified)**

**Section 3. Form PTO-1449 (Modified)**

☒ [X] A completed Form 1449 (Modified) is attached hereto.

☐ [ ] No Form 1449 (Modified) is attached.

**Section 4. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)**

**Section 5. Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted**

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_ (date).

*(complete the following, if applicable)*

☐ [ ] This application also relies, under 35 U.S.C. 120, on the earlier filing date of prior application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_ (date).

The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore, are not required to be provided in this application:

**Section 6. Cumulative Patents or Publications**

**STATEMENT**

\_\_\_\_\_ is cumulative of the following patents or publications listed on Form PTO-1449:

In accordance with 37 C.F.R. § 1.98(c), a copy of only \_\_\_\_\_ is being submitted with this Information Disclosure Statement.

## **Section 7. Copies of Listed Information Items Accompanying this Statement**

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application, as identified in Section 5.

☐ Cumulative patents or publications identified in Section 6.

## **Section 8. Concise Explanation of Non-English Language Listed Information Items**

### **Section 8A. Concise Explanation of Non-English Language Listed Information Items - EPO Search Report**

The relevance with respect to the following citations listed on Form PTO-1449:

is submitted on the basis of accompanying:

*(check the appropriate item)*

☒ EPO search report that is in the English language,

☐ EPO search report that is not in the English language and that is accompanied also by an English language version of the EPO search report,

that issued on the corresponding European patent application.

### **Section 8B. Concise Explanation of Non-English Language Listed Information Items - English Language Version of EPO Search Report**

## **Section 9. Translation(s) of Non-English Language Documents**

- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

*(complete the following, if applicable)*

- ☐ No English language translations of the foreign language parents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

## **Section 10. Concise Explanation of English Language Listed Information Items (OPTIONAL)**

## **Section 11. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT**

The person making this statement is the attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☐ in the attorney's file

[X] provided in the International Search Report cited herein

Respectfully submitted,

Marc Brockhaus

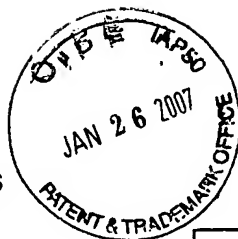
Marc A. Brockhaus, Reg. No. 40,923  
DUNLAP, CODDING & ROGERS, P.C.  
P.O. Box 16370  
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Attorney for Applicant(s)



Express Mail:  
Date Deposited:

EV 616014088 US  
January 26, 2007



Page 1 of 2

PTO-1449 (modified)

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT BY  
APPLICANT**

(use as many sheets as necessary)

Complete if Known	
Application Number	10/632,576
Filing Date	07/28/2003
First Named Inventor	John LeRoy Parker, Jr.
Group Art Unit	1775
Examiner Name	Cathy Lam
Attorney Docket Number	8245.057

U. S. PATENT DOCUMENTS					
EXAM INIT.	Cite Number	U.S. PATENT NUMBER Number	Kind Code <sup>2</sup>	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
	AA	5071517		Oabayashi et al.	12-10-1991
	AB	5229549		Yamakawa et al.	07-20-1993
	AC	5440075		Kawakita et al.	08-08-1995
	AD	6518515		Nishii et al.	02-11-2003
	AE	6555762		Appelt et al.	04-29-2003
	AF	6632591		Hunt et al.	10-14-2003
	AG	6715204		Tsukada et al.	04-06-2004
	AH	6773938		Wood et al.	08-10-2004

FOREIGN PATENT DOCUMENTS							
EXAM INIT.	Cite Number	Office 3	Foreign Patent Document Number 4	Kind Code 5	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T <sup>6</sup>
	BA		JP 04092496		Hachiya Toshihiro et al.	03-25-1992	
	BB		EP 0727926		Mizumoto et al.	08-21-1996	
	BC		EP 0865231		Kersten et al.	09-16-1998	

**U.S. and Foreign:** <sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard St.3). <sup>4</sup> Form Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

[illegible]